

### Exhibit A, Attachment III TURNOVER

The use of headings of titles throughout this exhibit is for convenience only and shall not be used to interpret or govern the meaning of any specific term, function, or activity.

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## **1.0 TURNOVER**

### **1.1 OVERVIEW**

This section defines the process the Contractor shall follow when transferring Health Care Options (HCO) Program Operations under this Contract to a successor contractor and/or to CDHS in the period leading up to the Contract Termination Date (CTD) and immediately afterward. This process is designed to provide for an orderly transfer of HCO Contract Operations. Complete adherence to the requirements appearing herein provides CDHS with an assurance that the Contractor shall continue to meet all HCO Program Operation requirements during the Turnover phase, while successfully transferring all HCO Program responsibilities to the successor contractor (and/or to CDHS).

The Contractor and/or State shall transfer HCO Program Operations, cost-reimbursed and leased hardware, software and equipment as well as the information housed in the Health Plan Enrollment (HPE) System to the successor contractor. The HPE System itself, however, will not be transferred.

### **1.2 OBJECTIVES**

The Turnover requirements appearing in this section shall:

- A. Guide the Contractor in transferring all HCO Program Operations to the successor contractor;
- B. Establish a Turnover Schedule for the Contractor to follow in meeting the Turnover requirements set forth in this section;
- C. Establish a procedure for the Contractor to use in documenting compliance with the Turnover Schedule;
- D. Establish the procedures the Contractor shall use to submit Turnover Deliverables to CDHS for review and approval; and
- E. Assure that Turnover activities shall be as transparent as possible to applicants, beneficiaries, health plans, and CDHS.

### **1.3 ASSUMPTIONS AND CONSTRAINTS**

Turnover shall begin fifteen (15) months prior to CTD. If CDHS exercises its option to extend this Contract beyond the base Contract years, the Turnover period shall be delayed for a commensurate period of time. Turnover requirements may be altered, in CDHS's sole discretion. If altered, CDHS shall notify the Contractor through the use of C-letters, and verbally during ongoing Turnover meetings. The order of Turnover events, described in this Section, and, possibly some of the events themselves, may be adjusted by CDHS from those required in this Contract. If any adjustments result in increased workload that is not included in the Contract bid price for the Turnover period and its activities, the Contractor shall be required to notify CDHS of the need for adjustment, and shall provide all documentation to

substantiate such. CDHS shall review such documentation and may alter the reimbursement, if CDHS determines it to be necessary.

#### **1.4 GENERAL REQUIREMENTS**

- A. The Contractor shall complete all Turnover tasks and activities in accordance with the requirements and schedule appearing in this Section;
- B. The Contractor shall develop for submission to CDHS a Turnover Work Plan (TWP) as described in this Section;
- C. The Contractor shall employ quality assurance measures throughout Turnover as required in Exhibit A, Attachment II, Section 4, Quality Management Program, of this Contract; and
- D. Unless otherwise specified, required deliverables that are unrelated to Turnover, but which have submission dates during Turnover, shall continue to be submitted on schedule. The inception of Turnover shall not itself affect the submission of any non-Turnover related deliverables. The Contractor may request that CDHS waive one or more deliverable requirements that are unrelated to Turnover, but submission of all such deliverables shall continue on schedule unless or until CDHS issues a formal written waiver.

#### **1.5 TURNOVER SCHEDULE**

The Turnover requirements discussed in this Section, and completion dates for each, are detailed in the Turnover Schedule provided herein. The dates and time frames appearing in both the Turnover Schedule and narrative of this Contract are variable, as dates and/or time frames may need to be adjusted according to the circumstances at the time. Thus, the Contractor's TWP shall be submitted as required herein, but may be subject to future revision, as necessary.

All Turnover Deliverables, data and information submitted by the Contractor under the terms of the Turnover provisions of this Contract shall be accompanied by a Contract letter, signed by the Contractor's Turnover Manager or his or her designee, attesting to the currency, accuracy, and completeness of the submitted material.

The overall Turnover Schedule by major milestone and/or deliverable and applicable due date is detailed in the following section. Although CDHS shall review and approve all Turnover Deliverables required under this Contract, the review and approval may occur earlier or later than required in this Turnover Schedule. The schedule of activities shall be adjusted based on the use of any optional extension period(s). All adjustments shall be scheduled so as to retain the relationship between Turnover and the successor contractor's Takeover schedule, as well as with CDHS's overall procurement schedule.

Unless otherwise specified, all due dates are prior to CTD.

### TURNOVER SCHEDULE

<b>Deliverable/ Milestone</b>	<b>Due Date (CTD = Contract Termination Date)</b>	<b>RFP/Contract Reference</b>
<b>TURNOVER MANAGEMENT AND PLANNING</b>		
Submit Turnover Work Plan (TWP)	15 Months Prior to CTD	Turnover
Submit Gantt Chart of TWP	15 Months Prior to CTD	Turnover
Submit Project Control and Reporting Process Reports	15 Months Prior to CTD and Weekly Thereafter	Turnover
Assemble Management Team	15 Months Prior to CTD	Turnover
Submit Names and Resumes of Management Team Members	15 Months Prior to CTD	Turnover
Designate Turnover Manager	15 Months Prior to CTD	Turnover
Submit HCO Training Program and Plan	15 Months Prior to CTD	Turnover
Submit Training Progress Report	2 Weeks After Training Begins and Every Other Week Thereafter	Turnover
Submit Job Roster	15 Months Prior to CTD, and Monthly Thereafter	Turnover
<b>FACILITIES, HARDWARE, SOFTWARE AND EQUIPMENT</b>		
Onsite Walkthroughs for Prospective Bidders	15 Months Prior to CTD	Turnover
Onsite Walkthroughs for State Staff	15 Months Prior to CTD	Turnover
Tours for Successor Contractor and Staff	9 Months Prior to CTD	Turnover
State Access to Computer Center	15 Months Prior to CTD	Turnover
Submit Inventory List of Cost-Reimbursed Hardware, Software and Equipment	15 Months Prior to CTD	Turnover
Transfer Inventory of Cost-Reimbursed Hardware, Software and Equipment	To Be Determined (TBD) by CDHS	Turnover
Submit Copy of Hardware and Software configuration	6 Months Prior to CTD	Turnover

<b>Deliverable/ Milestone</b>	<b>Due Date (CTD = Contract Termination Date)</b>	<b>RFP/Contract Reference</b>
<b>DATA FILES</b>		
Submit Inventory List of Data Files	15 Months Prior to CTD	Turnover
Transfer of Files	TBD by CDHS	Turnover
Two-way Transmission File Testing	TBD by CDHS	Turnover
Training		
Training on Hardware and Software	6 Month Prior to CTD	
<b>INFORMING MATERIALS AND MAILINGS</b>		
Submit Inventory of List Cost-Reimbursed Supplies, Forms and Materials	15 Months Prior to CTD and Monthly Thereafter	Turnover
Submit Inventory List of HCO Program Materials	At CTD	Turnover
Submit List of Contact Methods	15 Months Prior to CTD	Turnover
<b>DOCUMENTATION</b>		
Submit Documentation Methodology	15 Months Prior to CTD	Turnover
Submit Inventory List of Documentation	15 Months Prior to CTD and Quarterly Thereafter	Turnover
Submit Complete Set of Documentation	15 Months Prior to CTD and Quarterly Thereafter	Turnover
Submit Summary of All Reports	7 Months Prior to CTD	Turnover
Submit Operational Performance and Existing Reports	15 Months Prior to CTD	Turnover
Submit Master Index List of Records to State	11 Months Prior to CTD	Turnover
Submit Master Index of Records to Successor Contractor	When Final Records are Transferred	Turnover
<b>OTHER ADMINISTRATIVE PROCEDURES</b>		
Perform All Administrative Procedures	During Turnover	Turnover
Conduct Assessment of Systems Documentation	15 Months Prior to CTD	xxxxxxxxxxxx

<b>Deliverable/ Milestone</b>	<b>Due Date (CTD = Contract Termination Date)</b>	<b>RFP/Contract Reference</b>
<b>TESTING SUPPORT</b>		
Make Information and Documentation Available	During Both Parallel Tests	Turnover
<b>TURNOVER PHASE-OUT ACTIVITIES</b>		
Submit Phase-Out Work Plan	4 Months Prior to CTD	Turnover
Establish a Phase-Out Transfer Schedule	6 Weeks Prior to CTD	Turnover
Post-HCO Program Operations Phase-Out	During 3 Months After CTD	Turnover
Post-HCO Program Operations Activities	During 3 Months After CTD	Turnover

### **1.5.1 TURNOVER DELIVERABLES**

- A. Each item listed in the Turnover Schedule constitutes a Turnover Deliverable.
- B. The Contractor shall assume that CDHS may require that corrections and/or revisions be made to each deliverable. The Contractor shall have ten (10) business days to make State-mandated revisions.
- C. The Contractor shall ensure that all State-approved corrections and/or revisions to deliverables and milestones are incorporated into the TWP within five (5) business days.
- D. The Contractor shall ensure that all Turnover Deliverables and milestones, both original and revised, are incorporated into the Weekly Deliverable Status (WDS) report, as described later in this section. All changes and modifications to Turnover Deliverables and milestones shall require prior written approval from CDHS. If approved, the changes shall be incorporated into the WDS report within five (5) business days of approval.
- E. CDHS retains the authority to approve or disapprove all Turnover Deliverables. CDHS also retains the authority to disapprove the early or late submission of Turnover Deliverables, in relation to the date due per the Turnover Schedule.

## **1.6 TURNOVER MANAGEMENT AND PLANNING**

### **1.6.1 TURNOVER WORKPLAN**

The objective of the TWP is to specify, in detail, the Contractor's activities that are to be used to meet all Turnover requirements. The TWP shall demonstrate that the Contractor understands the responsibilities and tasks to be performed that directly parallel those Takeover tasks to be performed by the successor contractor.

At the commencement of Turnover, fifteen (15) months prior to CTD, the Contractor shall submit the TWP to CDHS for review and written approval. The TWP shall identify and describe all activities necessary to complete the termination and transfer process. The schedule of tasks shall reflect all of the items in the Turnover Schedule. The Contractor shall allow ten (10) business days in the TWP for State review and written approval of Turnover Deliverables. The Contractor shall not implement and/or perform those required Turnover activities until receipt of written State approval for each.

In addition to addressing the activities associated with the Turnover process in narrative form, the TWP shall:

- A. Identify every scheduled step with a unique Work Breakdown Structure (WBS) code.
- B. Clearly identify all contractually required deliverables, milestones walkthroughs, and State approvals;
- C. Allocate sufficient time for each activity to:
  - 1. Ensure that, upon completion, it meets all applicable Contract requirements; and
  - 2. Ensure that all required State review and written approval steps can be completed without creating scheduling delays.
- D. Use a Gantt (or equivalent) chart to graphically depict the scheduling relationships between all Turnover activities. This chart shall be submitted at the beginning of Turnover and shall meet the following requirements:
  - 1. It shall utilize Precedence Diagramming Methods to graphically illustrate the dependencies and precedence relationships between/among all Turnover activities;
  - 2. It shall clearly identify the beginning and end dates, as well as the duration, of all tasks;
  - 3. It shall clearly identify all critical paths (sets of task dependencies that, if not kept on schedule, will delay the final completion date);
  - 4. It shall hierarchically group Turnover activities as follows:

- a. Task - The highest-level activity, which consists of a logical grouping of major subtasks
- b. Major subtask - A logical grouping of subtasks
- c. Subtask - A logical grouping of work packages consisting of no more than four (4) such packages. All deliverables shall be identified in the work plan at the subtask level.
- d. Work package - The smallest increment of work effort. Work packages shall include:
  - i. A description of the work effort;
  - ii. An identifiable product or output;
  - iii. The skill or resource category used to produce the output;
  - iv. The quantity of resource units required to produce the output; and
  - v. The duration of the work effort, including start and end dates.

#### **1.6.2 PROJECT CONTROL AND REPORTING PROCESS**

The Contractor shall utilize a Project Control and Reporting Process (PCRP) to advise State and Contractor management of progress in meeting goals and schedules contained in the TWP. This PCRP reporting mechanism shall begin with the inception of Turnover, fifteen (15) months prior to CTD, and applies weekly thereafter. The PCRP shall consist of the following four (4) elements:

- A. Monthly progress meetings attended by the Contractor and CDHS. The Contractor shall facilitate these meetings. These meetings may be held more often than monthly, based on the need to do so;
- B. Monthly progress reports shall be submitted both in hardcopy and electronically two (2) business days before each subsequent monthly progress meeting and shall be current at the time of submittal. The format of the report shall be agreed upon prior to submission. Ten (10) hard copies of each report shall be submitted to CDHS monthly.

This report shall contain items to be discussed at each meeting. These reports shall include, but not be limited to, the following items:

- 1. Attendees scheduled for upcoming meeting;
- 2. Progress of each task and/or activity, as applicable for that period of time;
- 3. Topics of general discussion;
- 4. Action items and decisions made at the previous monthly progress meeting;



5. Problem(s) encountered, resolution(s) proposed for each problem, projected completion date of problem resolution(s), current and/or actual status of problem resolution(s), and State and Contractor contact person(s) and phone number(s);
  6. Planned activities for the next two (2) months (reporting periods);
  7. Status of contractually required Turnover Deliverables, milestones, and walkthroughs scheduled in the TWP;
  8. A list of all Turnover Deliverables, milestones, and State approvals that are behind schedule;
  9. Verification by the Quality Assurance Unit that the Turnover tasks are completed within the required time frames and in accordance with Contract provisions (see Exhibit A, Attachment II, Operations). Items of non-compliance shall be specifically noted and Problem Statements (PSs) submitted;
  10. A list of any missing information that should have been transferred to the successor contractor as part of their Takeover activities and an adjunct list of any inaccurate information transferred to the successor contractor as part of their Takeover activities; and
  11. Any other information deemed necessary by the Contractor and/or required by CDHS.
- C. Monthly Deliverable Status (MDS) report, in the form of a Gantt (or equivalent) chart, in a format agreed upon prior to submission that shall include the status of Turnover Deliverables, milestones, walkthroughs and State approvals. It shall be used by the Contractor and CDHS in determining the Contractor's progress during Turnover and for tracking the status of Turnover Deliverables.
1. The MDS report shall be furnished to CDHS monthly both in hardcopy and electronically, two (2) business days before each subsequent monthly progress meeting, and shall be current at the time of submittal. Ten (10) hard copies of each report shall be submitted to CDHS.

The MDS report shall meet the following requirements:

- a. Two (2) versions of the report shall be submitted to CDHS. One (1) report shall use the 'WBS Number' as the sort key, and the second (2) report shall use 'Original Due Date' as its sort key.
  - 1) The report shall include the following items:
    - a) WBS Number - The number that the Contractor has assigned to the Turnover Deliverable and/or activity required in the TWP;

- b) Description - Brief description of the Turnover Deliverable and/or activity;
  - c) Date Delivered - The actual date that the Turnover Deliverable was delivered to CDHS for review and approval;
  - d) Original Due Date - Initially, this shall be the due date originally provided in the Contractor's TWP. Subsequent submittals shall provide the updated or most recently assigned due date;
  - e) Days Early and/or Late - The number of days the Turnover Deliverable was submitted either late (- days) or early (+ days);
  - f) Date Approved, Disapproved, Pended, or Conditionally Approved - The date CDHS either: approved (A), disapproved (D), pended (P), or conditionally approved (C) the Turnover Deliverable;
  - g) Resubmission Due Date - If disapproved, pended or conditionally approved, this field shall reflect the new due date for the Turnover Deliverable set by CDHS. There will be as many entries in this column as disapprovals, pends, or conditional approvals by CDHS;
  - h) Date Resubmitted - The date the Turnover Deliverable was resubmitted to CDHS for review and approval;
  - i) Date Approved, Disapproved, Pended, or Conditionally Approved - The date CDHS approves, disapproves, pends, or conditionally approves the resubmitted Turnover Deliverable; and
  - j) Remarks – Free form comments space allowing up to seventy (70) characters.
- D. Weekly Deliverable Exception (WDE) report. This report, in the form of a chart, shall extract those Turnover Deliverables, milestones, walkthroughs, and State approvals from the WDE report that are past due.

The WDE report shall be sorted by due date with the oldest due date first. It shall be submitted both in hardcopy and electronically two (2) business days before each subsequent monthly progress meeting, in a format agreed upon prior to submission. Ten (10) hard copies of each report shall be submitted to CDHS.

### **1.6.3 TURNOVER MANAGEMENT TEAM**

Fifteen (15) months prior to CTD, the Contractor shall:

- A. Assemble a Turnover Management Team to lead the Contractor's Turnover activities;

- B. Submit to CDHS for review and approval the names and resumes of each Turnover Management Team member; and
- C. Designate one (1) individual as the Turnover Manager. The Turnover Manager shall be responsible for ensuring that all Turnover requirements are met, and shall serve as the Contractor's liaison to CDHS for the entire Turnover Project. CDHS reserves the right to review and approve the appointment of the Turnover Manager and Turnover Management Team, as well as to instruct the Contractor to make changes in the Turnover Manager position and/or Turnover Management Team anytime during Turnover.

#### **1.6.4 TRAINING PROGRAM AND PLAN**

The Contractor shall submit to CDHS a comprehensive Training Program to include a Training Plan, describing their plans to accomplish the required training of all successor contractor management, supervisors, and technical staff, as well as State staff, as necessary. The Contractor should plan to train a minimum of fifty (50) successor contractor personnel.

All instructional materials and handbooks used in the comprehensive training program shall be based upon and/or consistent with the complete and current set of HCO Program Operations documentation.

The Contractor shall:

- A. Submit, fifteen (15) months prior to CTD, the complete Training Program, including the Training Plan, which describes its plan to accomplish required training of successor contractor and State staff. The Training Plan shall include, but not be limited to:
  - 1. A description of each trainer's professional background, experience, subject area knowledge and expertise, and previous training experience;
  - 2. The topics to be covered in the Contractor's training. These topics shall include all areas of the HCO Program Operations and Contract;
  - 3. A schedule of planned training sessions;
  - 4. The number of staff to be trained per training module and training session;
  - 5. The training methodology;
  - 6. Hands-on training, if appropriate;
  - 7. Evaluation techniques to be used;
  - 8. The length of each training session; and
  - 9. Samples of the proposed training materials to be provided for each session.

- B. Fourteen (14) calendar days after training begins, and every other week thereafter through CTD, submit to CDHS a written Training Progress Report, which details the progress and status of the Training Program over the previous reporting period. The status and progress of the Training Program shall be reported in the context of the approved Training Plan. The Training Progress Report shall clearly identify on-schedule, ahead-of-schedule, and behind-schedule training tasks.

#### **1.6.5 PERSONNEL REPORTING**

The Contractor shall:

- A. Prepare and submit to CDHS a roster of Contractor staff that are likely to become available to the successor contractor. This roster shall be provided fifteen (15) months prior to CTD, and updated versions shall be submitted monthly thereafter, through CTD. It shall include the names of all HCO Program employees (except key personnel), the estimated date each will become available to the successor contractor, and complete contact information for each staff member.
- B. Work with the successor contractor to plan and hold job seminars designed to encourage Contractor staff to accept positions with the successor contractor.

#### **1.6.6 HARDWARE, SOFTWARE AND EQUIPMENT**

CDHS intends to make existing cost-reimbursed computer hardware, telephone hardware, wide and local area network hardware, and software available to the successor contractor.

The Contractor shall:

- A. Submit to CDHS fifteen (15) months prior to CTD a current inventory of all hardware, software and equipment maintained by the Contractor that was purchased and/or leased pursuant to the cost reimbursement provisions of the Contract;
- B. Submit to CDHS nine (9) months prior to CTD all hardware and software configuration documentation. This submittal shall be comprehensive, covering all hardware and software appearing on the list compiled under item A., above.
- C. Beginning six (6) months prior to CTD, provide the successor contractor's staff with training on all hardware and software appearing on the list compiled under item A., above.
- D. Transfer to the successor contractor responsibility of the operation and maintenance of all hardware and software compiled under item A., above. The transfer shall proceed according to a schedule provided by CDHS, and shall continue until the successor contractor is responsible for all listed hardware and software. In addition to the listed hardware and software, all associated supplies, operating manuals, and the like, shall be transferred, as directed by CDHS.

- E. Transfer to the successor contractor legal responsibility for all lease and maintenance agreements and contracts covering the hardware and software that became the responsibility of the successor contractor under item D, above.

### **1.6.7 DATA FILES**

#### **1.6.7.1 TRANSFER OF DATA FILES**

The Contractor shall:

- A. Submit to CDHS fifteen (15) months prior to CTD a current inventory of all data files maintained by the Contractor pursuant to the provisions of the Contract;
- B. Transfer the files inventoried under item A above, to CDHS according to a File Transfer Schedule CDHS shall provide. The File Transfer Schedule will be determined by the successor contractor's system and user acceptance testing needs.
- C. Provide CDHS all other files, documentation, records, transaction information, and/or data which CDHS determines to be necessary for the orderly and successful transfer of HCO Program Operations to the successor contractor.

#### **1.6.7.2 DATA FILES DURING TURNOVER**

The Contractor shall:

- A. Submit current and accurate electronic copies of all files necessary to transfer HCO Program Operations to CDHS and/or to the successor contractor. The Contractor Turnover Manager, or his or her designee, shall certify in writing that all files submitted are current and accurate. Production data file transfer activities shall be conducted in accordance with the File Transfer Schedule provided by CDHS during Turnover;
- B. Submit copies of the current versions of all production files, as they exist as of the start date of the file transfer Turnover phase. Production files shall be submitted to CDHS by 12:00 p.m. (noon) of the start date of the Turnover phase. Submittal shall occur at the Contractor's main operating facility;
- C. Ensure that each set of files that are copied for submittal to CDHS are the outputs from the most recently completed daily, weekly, and monthly cycles;
- D. In the event that any of the files submitted under item B., above, are unreadable and/or otherwise unusable, submit replacement copies within one (1) business day of notification by CDHS, unless CDHS, in writing, agrees to extend that period;
- E. Submit the electronic files with the following:

1. A hard copy listing of all procedures, programs, and scripts used to create and/or copy each file;
  2. Job output listings and reports for both the job that created each file, and the job that copied each file from Contractor media to the media that will be transmitted to CDHS, including record counts or other control information for record balancing; and
  3. Written certification from the Contractor Turnover Manager, or his or her designee, that each file is a complete and accurate copy of the file from the HPE System.
- F. Ensure that each file scheduled for transfer at CTD is transferred to the successor contractor only upon the successful completion of its update cycle (e.g., files updated by the daily cycle shall be transferred as of the completion of the daily cycle; files updated by the weekly cycle shall be transferred upon completion of the weekly cycle);
- G. For files submitted prior to the final update cycle, submit all update and/or transaction files to CDHS or its designee. The update and/or transaction files submitted shall be in a format approved by CDHS;
- H. If, during Turnover, additional files are identified, CDHS will request these files either by adding them to one of the file transfer phases or by requesting special processing. If added to a file transfer phase, the files shall be submitted in accordance with the schedule for that phase, if feasible. If not feasible, these files shall be submitted within two (2) business days of the regular production cycle. If requested by special processing, the file shall be submitted to CDHS within two (2) business days of the request; and
- I. Submit to CDHS for review and approval a detailed description of the criteria and procedures to be used for two-way file transfers. Two-way file transmission testing shall occur according to a schedule supplied by CDHS.

### **1.6.8 FACILITIES**

The Contractor shall:

- A. Conduct facility walkthroughs and demonstrations of HCO Operations for prospective bidders once the draft Request For Proposal for the successor contract has been released. These walkthroughs and demonstrations shall include tours of the Contractor's physical plant to demonstrate HCO Program Operations, and workflows between operational areas. Each walkthrough and demonstration may be attended by up to ten (10) representatives from each prospective bidder, and shall be conducted during the Contractor's operational hours.
- B. Beginning fifteen (15) months prior to CTD, conduct facility tours, walkthroughs and demonstrations for State staff. Tours of the Contractor's physical plant shall

include all facilities, and shall be designed to illustrate workflows between operational areas, and between Operations and the processing solution.

- C. Beginning fifteen (15) months prior to CTD, provide designated State staff with access to the Contractor's Computer Center.
- D. Beginning nine (9) months prior to CTD, conduct facility tours for up to one hundred (100) staff of the successor contractor.

#### **1.6.9 INFORMING MATERIALS AND MAILING FUNCTIONS**

The Contractor shall:

- A. Submit, fifteen (15) months prior to CTD and monthly thereafter through CTD, a current inventory of all supplies and HCO Program informing materials, which are maintained by the Contractor pursuant to the cost reimbursement provisions of the Contract. This inventory shall be reconciled against the written documentation held by CDHS. For each inventoried item, the quantity currently available shall be reported;
- B. Submit to CDHS, fifteen (15) months prior to CTD, a list of Post Office Boxes, telephone numbers, facsimile numbers, as well as comparable information about any other means by which the Contractor exchanges information with applicants, beneficiaries, health plans and/or other interested parties. This list must comprehensively identify all means used for the sending and/or receiving of all types of HCO Program information, including, but not limited to, forms, packets, letters and inquiries. For each information exchange method listed, a description of its purpose shall be included; and
- C. Submit to CDHS and/or successor contractor, at CTD, the remaining inventory of all cost reimbursed HCO Program informing materials.

#### **1.6.10 DOCUMENTATION**

The Contractor shall:

- A. Fifteen (15) months prior to CTD, submit to CDHS for review and written approval, and for transfer to the successor contractor, a detailed description of the methodology that shall be utilized by the Contractor to ensure the complete review, certification, and acceptance of all HCO Program Operations documentation;
- B. Submit to CDHS fifteen (15) months prior to CTD, and quarterly thereafter through CTD, a comprehensive inventory of all HCO Program Operations documentation. This documentation shall:
  - 1. Consist of HCO Program Operations manuals and other non-manual documents, including, but not limited to, inventory lists and Problem Statements, etc.;

2. Not contain copyrighted or proprietary information belonging to vendors and other entities; and
  3. Be stored in a State-approved information storage.
- D. Submit to CDHS, fifteen (15) months prior to CTD, and updated quarterly thereafter and at CTD, a complete set of HCO Program Operations documentation. Each submission shall include the master list of HCO Program Operations manuals. For each manual on the list, the Contractor shall provide the manual title, a citation referencing the Contract section authorizing the creation of the manual, and its current status (current, update pending, obsolete, etc.);
- E. Continue to submit all documentation required by this Contract, including but not limited to, Change Order, System Development Notice, and Turnover documentation, throughout Turnover. All such documents shall be submitted in full compliance with the requirements in the applicable Contract sections. The Contractor shall ensure that these documents are added to the HCO Program Operations documentation to be submitted at CTD; and
- F. Submit to CDHS during Turnover, copies of any documentation CDHS requests, in any format CDHS specifies.

#### **1.6.11 REPORTS**

The Contractor shall:

- A. Submit to CDHS seven (7) months prior to CTD a summary of all reports produced by the Contractor. Include in that summary the names of the individuals and/or organizations to which the reports are delivered, the delivery dates, the medium in which provided, and the method of distribution for each report.
- B. Beginning fifteen (15) months prior to CTD, CDHS may submit written requests to the Contractor for operational performance statistics and/or copies of existing operational reports. The Contractor shall provide the requested information within fourteen (14) calendar days of receipt of each written request.

#### **1.6.12 RECORDS RETENTION**

The Contractor shall:

- A. Submit to CDHS for review and written approval, thirteen (13) months prior to CTD, a proposed Master Index of Records format. This format shall group documents by type, and shall sort documents logically within each category type. One or more sub-types may be used under each major category type. The Contractor shall include a major category type for HCO Operations documentation. All documentation relating to the HPE System operations shall appear in that category. The subcategories under the HCO Operations type shall



include, but not be limited to, process manuals, process change documentation, information dictionaries, Problem Statements and Incident Reports. The Master Index of Records format, as reviewed, possibly modified and approved by CDHS, shall be used to generate the Master Index of Records described in item B., below.

- B. Submit to CDHS, eleven (11) months prior to CTD, a completed Master Index of Records containing all records maintained by the Contractor pursuant to the Exhibit A, Attachment II, Section 8, Records Retention and Retrieval in this Contract. The Master Index of Records shall constitute a comprehensive inventory of all HCO Program records, and shall include for each record the document title and/or name, the Document Control Number, the date completed and/or submitted, the period covered, the volume (usually, the number of pages), and the medium. Reports and other documents submitted in a set format at regular intervals may be reported as a single entry in the index. CDHS may, however, require the Contractor to disaggregate some entries. Once approved by CDHS in writing, the Master Index of Records shall be updated and resubmitted monthly. Each submittal shall include a signed letter from the Contractor's Turnover Manager, or his or her designee, certifying that the current Master Index of Records completely and accurately reflects the body of records maintained by the Contractor pursuant to the requirements appearing in the Records Retention and Retrieval section of this Contract.
- C. Submit to CDHS, or its designee, at CTD the body of records maintained by the Contractor pursuant to the requirements appearing in the Records Retention and Retrieval section of this Contract. Along with the records themselves, a Master Index of Records accurately reflecting the body of records turned over shall be submitted. This submittal shall be accompanied by a letter, signed by the Contractor's Turnover Manager, or his or her designee, certifying that the body of records turned over fulfills completely the Records Retention and Retrieval requirements appearing in this Contract, and that the Master Index of Records fully and completely reflects the body of documents turned over. The Master Index of Records, and the body of documents submitted, shall be sufficiently complete and accurate to be found to fulfill all applicable requirements by a full State and/or federal audit.

#### **1.6.13 OTHER ADMINISTRATIVE PROCEDURES**

Fifteen (15) months prior to CTD, the Contractor shall submit to CDHS a draft Turnover Administrative Procedures manual. This manual shall document the administrative procedures that shall be required to affect a smooth, relatively problem-free turnover of Contract Operations to the successor contractor. The areas to be covered in this manual shall include, but not be limited to, those Contract requirements as stated throughout this Contract, including those in the General and Special Terms and Conditions sections, budgets and finance, personnel, and the HPE System. Following State review and written approval, the Contractor shall submit a final draft. Updates shall be submitted monthly thereafter, until CTD.

#### **1.7 TESTING SUPPORT**

During systems and user acceptance testing under the successor contract, the Contractor shall provide testing support to both CDHS and the successor contractor. The Contractor shall complete all requests for support, within a reasonable period, not to exceed two (2) business days, unless CDHS provides written approval for a longer response period. This support shall consist of, but not be limited to:

- A. Submission to CDHS of HPE System files, test data files, tables and all other files and documentation needed to support parallel and other system tests. The Contractor Turnover Manager, or his or her designee, shall certify in writing that every item submitted is complete, current, and accurate and that the systems files, data, tables and documentation in the submission are copies of the files, data, tables and documentation used in the production HPE System. That certification shall include a complete listing of all items submitted, along with a brief description of each;
- B. Providing successor contractor's staff with access to electronic files and state-owned/leased hardware, software, and equipment in the Contractor's possession as needed to conduct testing. In no case shall the granting of such access jeopardize the Contractor's ability to meet Contract requirements. If the Contractor's staff receives information that the actions of staff from the successor contractor may jeopardize HCO Operations, Contractor will advise CDHS, which shall then advise Contractor whether to grant access;
- C. Assisting CDHS with the interpretation and analysis of test results; and
- D. Submission of any statistics requested by CDHS relating to the accuracy of the data housed in the HCO Operations.

## **1.8 TURNOVER PROCESSING**

The Contractor shall continue to meet all requirements appearing in this Contract until all HCO Program Operations have been fully turned over to the successor contractor. The functions that shall continue without interruption or modification until final turnover of Operations include, but are not limited to, the following:

- A. Maintenance of beneficiary history records. All beneficiary history records shall be kept fully current up to and including the point in time when the history records are turned over to the successor contractor.
- B. Maintenance of staffing levels consistent with workload. Encouraging and/or incentivizing staff to remain on the job during Turnover.
- C. Records disposal. This Contract authorizes the Contractor to obtain approval to dispose of certain categories of HCO records in its possession. The Contractor shall obtain the necessary written approvals from CDHS, and dispose of all designated records, in keeping with applicable contractual requirements and conditions imposed in the written approvals received.

### **1.8.1 TURNOVER PHASE-OUT**

For the purposes of this Contract, Turnover Phase-Out is defined as the last four (4) months of HCO Program Operations under this Contract. During Turnover Phase-Out, the Contractor shall complete its obligations under the terms of this Contract, and affect a smooth, relatively problem-free turnover of Contract Operations to CDHS and the successor contractor.

### **1.8.2 TURNOVER PHASE-OUT WORK PLAN AND SCHEDULE**

The Contract Turnover period shall culminate with a four-month Phase-Out period. The purpose of the Phase-Out period is to minimize the risk of disruption during the final turnover of Operations by describing and scheduling all final turnover tasks in as much detail as possible. During Phase-Out, the activities begun during Turnover shall continue, but on a more intense and detailed level.

The Contractor shall:

- A. Submit to CDHS four (4) months prior to CTD a Phase-Out Work Plan, to include a Phase-Out Work Schedule. The Phase-Out Work Schedule shall be structured and organized according to the TWP specifications appearing in Section 1.6.1, above. The Phase-Out Work Plan shall contain the following narrative elements:
  - 1. An estimate of the amount of residual unprocessed work (e.g., Choice Forms, informing materials mailings, enrollment/disenrollment transactions, HPE update and reconciliation information, confirmation letters, exemption requests, etc.) that shall be transferred; and
  - 2. An organization chart depicting Contractor Phase-Out staffing by classification and area of activity. A narrative summarizing the duties and responsibilities of each position shall accompany the chart.
- B. Meet with CDHS and the successor contractor to review and assess the following Turnover Deliverables:
  - 1. The information records inventory, above;
  - 2. The Information Transfer Schedule provided by CDHS, above;
  - 3. The inventory of all HCO informing materials, above;
  - 4. The HCO Program Operations inventory and Turnover plan, above;
  - 5. The reports summary prepared, above; and
  - 6. The Master Index of Records prepared, above.

The purpose of this review shall be to determine the adequacy of each Turnover Deliverable for purposes of the Turnover Phase-Out period. In the case of each of these deliverables, the Contractor, CDHS, and the successor contractor shall

cooperatively determine what additional detail and Phase-Out scheduling will need to be added in order to ensure a smooth and orderly final turnover of Operations. CDHS will then direct the Contractor to make the agreed-upon modifications and provide a submission date for the revised documents and for any necessary detailed Phase-Out schedules.

### **1.8.3 TURNOVER PHASE-OUT ACTIVITIES**

- A. The Contractor shall transfer Operations to the successor contractor so as to minimize the likelihood of disrupting the provision of services during the transfer process. The Contractor shall exercise extreme care to assure that all unprocessed forms, program records and HCO Operations update files are properly turned over to the successor contractor for processing
- B. Transfer, by the last day of Operations under this Contract, all unprocessed HCO Program Operations documents to the successor contractor in appropriately labeled boxes and/or bins. The following documentation shall accompany each box and/or bin:
  - 1. Transmittal sheets;
  - 2. Logs stating the types of documents contained in each box and/or bin;
  - 3. Descriptions of the documents contained in each box and/or bin; and
  - 4. Exact status of each document in the HCO Program Operations process.
- C. Transfer all cost-reimbursed, purchased and/or leased hardware, software and equipment to the successor contractor. The transfer shall:
  - 1. Occur on or about the last day of HCO Program Operations. CDHS shall determine the exact date(s);
  - 2. Be determined by CDHS depending upon the type of equipment and needs assessed; and
  - 3. Include reassignment of all hardware, software and equipment maintenance contracts, regardless of cost-reimbursed and/or lease status.
- D. Transfer, as directed by CDHS, all associated software, supplies, operating manuals, maintenance agreements and any and all documentation covering all HCO Program Operations activities;
- E. Transfer, as directed by CDHS, all data lines used for network communication to the successor contractor. The Contractor shall:
  - 1. Arrange for data line transfers with the respective carriers;
  - 2. Notify CDHS and successor contractor in the event that the data line carrier prohibits transfers; and

3. Assist CDHS and successor contractor in coordinating concurrent termination and activation of data lines.
- F. In accordance with Contract delivery requirements, complete all daily, weekly and monthly HCO reporting in process by the last day of HCO Program Operations, with delivery to successor contractor on the following business day; and
- G. Submit, on or about CTD as approved by CDHS, all updates to information previously given to the successor contractor during the Turnover period.

#### **1.8.4 POST- HCO PROGRAM OPERATIONS PHASE**

The Post-HCO Program Operations phase begins immediately after the end of the HCO Program Operations phase. During the three (3) month Post-HCO Program Operations phase, the Contractor shall:

- A. Answer all Contract-related calls, referring the callers to the successor contractor's toll-free telephone lines;
- B. Within four (4) hours of receipt, make all misdirected Contract related mail available for pick-up at the Contractor's site by the successor contractor; and
- C. Make available all key personnel who have not transferred to the successor contractor available to State staff in order to answer questions regarding the HCO Program Operations of this Contract.
- D. Submit HCO Program-related correspondence as follows:
  1. During the Post-HCO Program Operations phase, submit correspondence to CDHS or its designee within one (1) business day of receipt; and
  2. Following completion of the Post-HCO Program Operations phase, return correspondence received to the sender via a mail courier service.